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PATENT  
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01-07-02

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Scott Fergusson

Serial No.: 09/917,120

Examiner Unknown

Filed: July 27, 2001

Group Art Unit 2161

For: METHODS AND SYSTEMS FOR ASSISTING FINANCIAL SERVICES FIRMS  
AND THEIR REPRESENTATIVES

Docket No.: 1137.1101101

**RECEIVED**  
DEC 28 2001  
Technology Center 2100

**TRANSMITTAL SHEET**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 26<sup>th</sup> day of October, 2001.

By \_\_\_\_\_

Brian N. Tufte

We are transmitting herewith the attached:

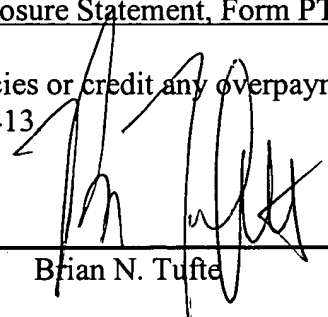
☐ Amendment

☐ No additional fee required

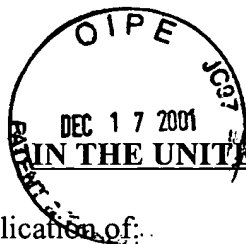
☐ The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		x9=	\$	X18=	\$
INDEPENDENT CLAIMS	-	=		X40=	\$	X80=	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+130=	\$	+260=	
TOTAL				\$		\$	

- [ ] A check in the amount of \$ \_\_\_\_\_ is enclosed.
- [ ] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [ X ] Other: Information Disclosure Statement, Form PTO-1449 and cited references.
- [XX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413

By:   
Brian N. Tufte  
Reg. No. 38,638

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I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS  
BEING DEPOSITED WITH THE UNITED STATES POSTAL  
SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE  
ADDRESSED TO: ASSISTANT COMMISSIONER FOR  
PATENTS, WASHINGTON, D.C. 20231.

26<sup>th</sup> DAY OF October, 2001

Brian N. Tufte

Dear Sirs:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Scott Fergusson

By his attorney,

Dated: October 26, 2001

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